

THE UNITED STATES PATENT OFFICE IS REQUESTED TO IMPRESS ITS STAMP ON THIS  
CARD AND PLACE SAME IN THE OUTGOING MAIL TO SHOW THE FOLLOWING PAPERS  
HAVE BEEN RECEIVED.

Atty Dkt. No.: RD-28408 (12764-00080)

Application of: Keyes et al.

Serial No.: 09/871,341

Filed: May 31, 2001

For: METHODS AND SYSTEMS FOR PORTFOLIO CASH FLOW  
VALUATION

Enclosed:

Response To Notice To File Missing Parts (in duplicate) (1pg.)

Part 2 of Notice (1 pg.)

Declaration and Power of Attorney (2 pgs.)

BTA/lis

Mailed: September 6, 2001

IN THE UNITED STATES OFFICE OF PATENTS AND TRADEMARKS

Applicant: Keyes et al.  
Serial Number: 09/871,341  
Filed: May 31, 2001  
For: METHODS AND SYSTEMS FOR  
PORTFOLIO CASH FLOW  
VALUATION

**CERTIFICATE OF MAILING**

I certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Box Missing Parts, Washington, D.C. 20231, on September 6, 2001

  
Bruce T. Atkins, Reg. No. 43,476

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION


Attention: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Notice to File Missing Parts of Application, mailed August 1, 2001, enclosed is the Combined Declaration and Power of Attorney, together with Part 2 of the Notice.

The Commissioner is hereby authorized to charge the surcharge of \$130.00 to Deposit Account Number 01-2384.

Respectfully submitted,

  
Bruce T. Atkins, Reg. No. 43,476  
ARMSTRONG TEASDALE LLP  
One Metropolitan Square, Suite 2600  
St. Louis, Missouri 63102-2740  
(314) 621-5070



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/871,341	05/31/2001	Tim K. Keyes	RD-28408

CONFIRMATION NO. 9578

## FORMALITIES LETTER



\*OC00000006371638\*

John S. Beulick  
Armstrong Teasdale LLP  
Suite 2600  
One Metropolitan Sq.  
St. Louis, MO 63102

Date Mailed: 08/01/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 130.

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. (5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);

*A copy of this notice **MUST** be returned with the reply.*

A.T

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

## DECLARATION AND POWER OF ATTORNEY

Attorney's Docket No.

RD-28408

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

the specification of which:

(check one) ☐ is attached hereto

☒ was filed on May 31, 2001 as Application Serial No. 09/871,341.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations §1.56(a).

I hereby claim priority benefits under Title 35, United States Code, §120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, §112. I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, §1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

Application Serial No.	Filing Date	Status (patented, pending, abandoned)
_____	_____	_____
_____	_____	_____
_____	_____	_____

I hereby claim the benefit under Title 35, United States Code §119(e) of any United States provisional application(s) listed below:

Application Serial No.	Filing Date	Additional provisional application numbers are listed on a supplemental priority sheet attached hereto.
_____	_____	

**POWER OF ATTORNEY:** As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

Ann M. Agosti, Reg. No. 37,372; Bernadette M. Bennett, Reg. No. 44,532; Jill M. Breedlove, Reg. No. 32,684; S. Bruce Brown, Reg. No. 44,569; Christian G. Cabou, Reg. No. 35,467; Penny Clark, Reg. No. 46,627; David C. Goldman, Reg. No. 34,336; Donald S. Ingraham, Reg. No. 33,714; Noreen C. Johnson, Reg. No. 38,929; Patrick K. Patnode, Reg. No. 40,121; Robert P. Santandrea, Reg. No. 45,072; Jean K. Testa, Reg. No. 39,396; John F. Thompson, Reg. No. 43,953; Toan P. Vo, Reg. No. 43,225, all of General Electric Company, 1 Research Circle, Niskayuna, NY 12309; Ronald E. Myrick, Reg. No. 26,315; Henry J. Policinski, Reg. No. 26,621; Jay L. Chaskin, Reg. No. 24,030; James W. Mitchell, Reg. No. 25602; John F. Beninati, Reg. No. 24,030; Bernard Snyder, Reg. No. 24,843; Catherine J. Winter, Reg. No. 38,364, all of General Electric Company, 3135 Easton Turnpike, Fairfield, CT 06431; John S. Beulick, Reg. No. 33,338; Patrick W. Rasche, Reg. No. 37,916; Michael Tersillo, Reg. No. 42,180; Bruce T. Atkins, Reg. No. 43,476; Robert B. Reeser III, Reg. No. 45,548; Thomas M. Fisher, Reg. No. 47,564; Joseph A. Lanahan, Reg. No. 47,732; Gordon F. Sieckmann, Reg. No. 28,667; and Daniel M. Fitzgerald, Reg. No. 38,880; all of Armstrong Teasdale, One Metropolitan Square, Suite 2600, St. Louis, MO 63102-2740

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Direct Telephone Calls To:

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314/621-5070

## DECLARATION AND POWER OF ATTORNEY

Attorney's Docket No.

RD-28408

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application and any patent issued thereon.

## SOLE OR FIRST INVENTOR:

Full Name: Tim K. KeyesSignature: Tim K. KeyesDate: 24 Aug 01Residence: West Redding, CT 06896Citizenship: United StatesPost Office Address: 16 Toplede Road, West Redding, CT 06896

## SECOND JOINT INVENTOR, IF ANY:

Full Name: Brian N. DingmanSignature: Brian N. DingmanDate: 28 Aug 2001Residence: Gloversville, NY 12078Citizenship: United StatesPost Office Address: 284 Woods Hollow Road, Gloversville, NY 12078